

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER 2271/75845 U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/587809
INTERNATIONAL APPLICATION NO. PCT/JP2005/010520	INTERNATIONAL FILING DATE 8 June 2005	PRIORITY DATE CLAIMED 11 June 2004
TITLE OF INVENTION SURFACE-EMISSION LASER DIODE AND FABRICATION PROCESS THEREOF		
APPLICANT(S) FOR DO/EO/US Shunichi SATO, Akihiro ITOH and Naoto JIKUTANI		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371.		
2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371.		
3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.		
4. <input type="checkbox"/> The US has been elected (Article 31).		
5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ul style="list-style-type: none"> a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 		
6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ul style="list-style-type: none"> a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 		
7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ul style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 		
8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).		
9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).		
10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).		
Items 11 to 20 below concern document(s) or information included:		
11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.		
12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.		
13. <input type="checkbox"/> A preliminary amendment.		
14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.		
15. <input type="checkbox"/> A substitute specification.		
16. <input type="checkbox"/> A power of attorney and/or change of address letter.		
17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.		
18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).		
19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).		

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/567809		INTERNATIONAL APPLICATION NO. PCT/JP2005/010520		ATTORNEY'S DOCKET NUMBER 2271/75845	
20. Other items or information: See attached Page 4.					
The following fees have been submitted				CALCULATIONS	PTO USE ONLY
21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a))..... \$300				\$ 300.00	
22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c))				\$ 200.00	
If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0					
All other situations..... \$200					
23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b))				\$ 400.00	
If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0					
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100					
International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB..... \$400					
All other situations..... \$500					
TOTAL OF 21, 22 and 23 =				\$ 900.00	
<input checked="" type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)).					
The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
200 - 100 =	100 /50 =	2	x \$250	\$ 500.00	
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	35 - 20 =	15	x \$ 50	\$ 750.00	
Independent claims	7 - 3 =	4	x \$200	\$ 800.00	
				+ \$360	\$ 0
MULTIPLE DEPENDENT CLAIM(S) (if applicable)					
TOTAL OF ABOVE CALCULATIONS =				\$ 2,950.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.					
SUBTOTAL =				\$	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				+	\$
TOTAL NATIONAL FEE =				\$ 2,950.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	\$
TOTAL FEES ENCLOSED =				\$ 2,950.00	
				Amount to be refunded:	\$
				Amount to be charged	\$

10/56/809

PTO-1390 (Rev. 07-2005)

Approved for use through 3/31/2007. OMB 0651-0021

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

- a. ☒ A check in the amount of \$ 2,950.00 to cover the above fees is enclosed. **AP 20 REC d PCT/PTO 07 FEB 2006**
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 03-3125. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

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SIGNATURE

Paul Teng

NAME

40,837

REGISTRATION NUMBER

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Shunichi SATO, Akihiro ITOH and Naoto JIKUTANI
Serial No. : Not Yet Known Int'l Appl'n No.: PCT/JP2005/010520
Date Filed : Concurrently Herewith Int'l Filing Date: 8 June 2005
For: SURFACE-EMISSION LASER DIODE AND FABRICATION PROCESS
THEREOF

**Page 4 of Transmittal Letter To The United States Designated/Elected Office
(DO/EO/US) Concerning A Submission Under 35 U.S.C. 371**

20. Other items or information:

Copies of the following--

- cover page of International Publication No. WO 2005/122350 A1;
- PCT Request;
- Notification Concerning Submission Or Transmittal Of Priority Document;
- Notification Of Transmittal Of The International Search Report And The Written Opinion Of The International Searching Authority, Or The Declaration;
- Written Opinion Of The International Searching Authority; and
- First Notice Informing The Applicant Of The Communication Of The International Application [To Designated Offices Which Do Not Apply The 30 Month Time Limit Under Article 22(1)].

10/567809

Dkt. 2271/75845

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE 07 FEB 2006

Application of: Shunichi SATO, Akihiro ITOH and Naoto JIKUTANI

Serial No. : Not Yet Known Int'l Appl'n No.: PCT/JP2005/010520

Date Filed : Concurrently Herewith Int'l Filing Date: 8 June 2005

For: SURFACE-EMISSION LASER DIODE AND FABRICATION PROCESS THEREOF

Mail Stop PCT

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

ATTN: DO/EO/US

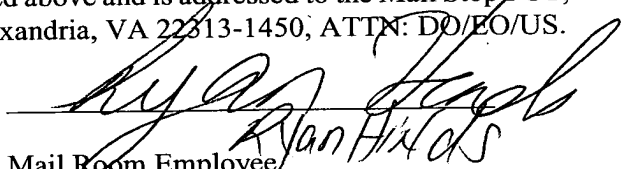
Sir:

EXPRESS MAIL LETTER OF TRANSMITTAL

Express Mail mailing label number: EV554806323US

Date of Deposit: February 7, 2006

I hereby certify that the above-identified new application, consisting of four pages of the Transmittal Letter To The United States Designated/Elected Office (DO/EO/US) Concerning A Filing Under 35 U.S.C. 371 (in duplicate), an English-language translation of the International Application as filed [including 190-page specification with claims 1-35, Abstract and 10 sheets of formal drawings (Figs. 1-22)], Information Disclosure Statement (including Form PTO-1449 and copies of references), cover page of PCT Publication No. WO 2005/122350 A1, PCT Request, Notification Concerning Submission Or Transmittal Of Priority Document, Notification Of Transmittal Of The International Search Report And The Written Opinion Of The International Searching Authority, Or The Declaration, Written Opinion Of The International Searching Authority, First Notice Informing The Applicant Of The Communication Of The International Application [To Designated Offices Which Do Not Apply The 30 Month Time Limit Under Article 22(1)], a check in the amount of \$2,950.00 and return stamped postcard, is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR §1.10 on the date indicated above and is addressed to the Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, ATTN: DO/EO/US.


Mail Room Employee
Depositing Express Mail Material

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